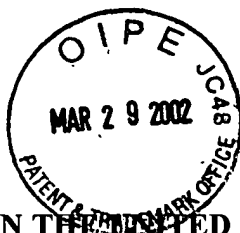


PATENT



0300  
ATTORNEY DOCKET NO. UCSF.002.01US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Vishwanath R. Lingappa *et al* ) Examiner:  
Serial No.: 10/040,206 ) Art Unit:  
Filed: January 2, 2002 ) INFORMATION DISCLOSURE  
For: HIV Capsid Assembly-Associated ) STATEMENT TRANSMITTAL  
Compositions and Methods )

**BOX DD**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:


Transmitted herewith is:

- ☒ [X] An Information Disclosure Statement.
- ☒ [X] A PTO-1449.
- ☐ [ ] Copies of references \_\_\_\_\_ as listed on the PTO-1449.
- ☐ [ ] An International Search Report.
- ☒ [X] Return postcard (postage prepaid).

CERTIFICATE OF FIRST-CLASS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first-class mail in an envelope addressed to the U.S. Patent and Trademark Office, PO Box 2327, Arlington, VA 22202

on 3-22-02  
(Date)

  
(Signature)

Lorraine Sarlat  
(Printed Name)

1. ☒ This Information Disclosure Statement is filed before the later of:
  - ☒ three months from the filing date of this national application;
  - ☐ three months from the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or
  - ☐ the mailing date of a first office action on the merits.☒ In accordance with 37 C.F.R. § 1.97(b), no fee is required.
  
2. ☐ This Information Disclosure Statement is filed after the events noted in paragraph 2, but before either:
  - (1) a final action under 37 C.F.R. § 1.113; or
  - (2) a Notice of Allowance under 37 C.F.R. § 1.311.☐ In accordance with 37 C.F.R. § 1.97(c) also enclosed is:
  - ☐ a fee under 37 C.F.R. § 1.17(p) in the amount of \$240; or
  - ☐ a certification as stated below.
  
3. ☐ This Information Disclosure statement is filed before the payment of the issue fee, but after either:
  - (1) a final action under 37 C.F.R. § 1.113; or
  - (2) a Notice of Allowance under 37 C.F.R. § 1.311.☐ In accordance with 37 C.F.R. § 1.97(d) also enclosed is:
  - (1) A certification, as stated below;
  - (2) A Petition requesting consideration of the Information Disclosure

Statement; and

- (3) The petition fee set forth in 37 C.F.R. § 1.17(i)(1) in the amount of \$130.

Certification

The undersigned also states:

- ☐ Each item of information contained in the Information Disclosure Statement cited herein was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing date of this Information Disclosure Statement; or
- ☐ No item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of this Information Disclosure Statement.

The fees indicated above are:

**TOTAL FEES: \$**

- ☐ A check including the amount of the above-indicated TOTAL FEES is attached.
- ☐ Please charge Deposit Account No. 18-0020 in the amount of: \$ \_\_\_\_\_.
- ☐ A check in the amount of \$ \_\_\_\_\_ is attached.
- ☒ No fee is required.
- ☒ The Commissioner is hereby authorized to charge any underpayment of the following fees associated with this communication, including any necessary fees for extension of time, or credit any overpayment to Deposit Account No. 18-0020.
- ☒ Any filing fees under 37 C.F.R. § 1.16 for the presentation of extra claims.
- ☒ Any patent application processing fees under 37 C.F.R. § 1.17.

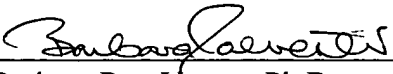
**PATENT**

**ATTORNEY DOCKET NO. UCSF.002.01US**

[X] A duplicate copy of this sheet is attached for accounting purposes.

Respectfully submitted,

Dated: March 21, 2002

  
\_\_\_\_\_  
Barbara Rae-Venter, Ph.D.  
Reg. No. 32,750

Rae-Venter Law Group, P.C.  
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Phone: (831) 648-3090  
Facsimile: (831) 242-0137

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PATENT



ATTORNEY DOCKET NO. UCSF.002.01US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Vishwanath R. Lingappa *et al* ) Examiner:

Serial No.: 10/040,206 ) Art Unit:

Filed: January 2, 2002 )

For: HIV Capsid Assembly-Associated )  
Compositions and Methods )

**INFORMATION DISCLOSURE**  
**STATEMENT**

**BOX DD**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is hereby submitted in accordance with 37 CFR 1.98 and pursuant to Applicant's continuing duty under 37 CFR 1.56 to bring any information which may be material to patentability of this application to the Examiner's attention.

References D1-D18 will be submitted under separate cover.

Applicant makes no representation that a complete search has been conducted by the Applicant, or that there is not possibly more relevant art. Applicant also makes no representation that the information submitted herewith is in fact material.

CERTIFICATE OF FIRST-CLASS MAILING

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(Date)

  
(Signature)

Lorraine Sarlot  
(Printed Name)

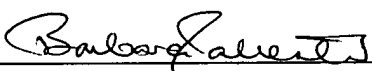
PATENT

ATTORNEY DOCKET NO. UCSF.002.01US

The subject application is believed patentable over any of the above references.

Respectfully submitted,

Dated: March 21, 2002

  
\_\_\_\_\_  
Barbara Rae-Venter, Ph.D.  
Reg. No. 32,750

Rae-Venter Law Group, P.C.  
PO Box 1898  
Monterey, CA 93942-1898  
Phone: (831) 648-3090  
Facsimile: (831) 242-0137

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The following has been received in the U.S. Patent Office on the date \_\_\_\_\_ per hereon:



- |   |   |
|---|---|
| <input type="checkbox"/> Patent Application, _____ pps.<br>specification, _____ pps claims,<br>_____ pps abstract | <input type="checkbox"/> Executed/unexecuted Declaration/POA  |
| <input type="checkbox"/> Drawings: _____ sheets of<br>informal / formal   | <input type="checkbox"/> Assignment   |
| <input type="checkbox"/> Application Transmittal  | <input type="checkbox"/> Verified Small Entity Statement  |
| <input checked="" type="checkbox"/> Return receipt postcard   | <input type="checkbox"/> Rule 132 Declaration   |
| <input type="checkbox"/> Response / Amendment   | <input type="checkbox"/> 312 Amendment after Allowance  |
| <input type="checkbox"/> Issue Fee Transmittal  | <input type="checkbox"/> Notice to File Missing Parts of App.   |
| <input type="checkbox"/> Notice of Appeal   | <input type="checkbox"/> Information Disclosure Statement   |
| <input type="checkbox"/> Appeal Brief(3 copies) _____ pages   | <input type="checkbox"/> Petition for Extension of Time   |
| <input checked="" type="checkbox"/> PTO Box# <u>DD</u>  | <input type="checkbox"/> Certificate of Correction  |
| <input type="checkbox"/> Express Mail Label _____   | <input checked="" type="checkbox"/> IDS Transmittal, IDS Statement<br>PTO-1449 [ No. of References <u>0</u> ] |
| <input type="checkbox"/> Other _____  | <input type="checkbox"/> Status Inquiry   |
|   | <input type="checkbox"/> Check No. _____ in amount of \$ _____  |

Serial No.: 10/040,206 Attorney Docket No.: UCSF.002.0145  
Attorney/Secretary: CS Mailing Date: 3/22/02



11/11

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03CO

Docket No: 11CSF.002.01US

**KEEP THIS FORM WITH FILE UNTIL COMPLETED.**

DATE DUE: 4/2/02

FILING ATTORNEY

1<sup>st</sup> REVIEW COMPLETED: Bur Y

DECLARATION OF MAILING (EXPRESS / 1<sup>st</sup> CLASS), FAXING SIGNED: \_\_\_\_\_

EXPRESS / 1<sup>st</sup> CLASS / FAX FOOTNOTE SIGNED: \_\_\_\_\_

SUBSTANTIVE ATTORNEY

REVIEW COMPLETED: \_\_\_\_\_ (including initialing of postcard)

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3<sup>rd</sup> & FINAL REVIEW AND MAILING COMPLETED: \_\_\_\_\_

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